

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John Haig MARSH et al.

Application No.: 10/536,936

Intl. Filing date: 13 November 2003

Art Unit: 3663

Examiner: Unknown

Confirmation No.: 8326

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July 22, 2005  
Date of Deposit  
Laura Nettleton

Title: SEMICONDUCTOR OPTICAL DEVICE WITH BEAM FOCUSING

CUSTOMER NUMBER: 43138

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(B)**

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicant brings to the attention of the Examiner the documents listed on the attached forms PTO SB08A/B. This Information Disclosure Statement is being filed prior to receipt of the first Office Action on the merits. Applicant encloses copies of those listed documents other than those which are US patents, US published patent applications, or which have been made of record in an application upon which Applicant relies for a priority date under 35 USC § 120. 37 CFR § 1.97(d).

Applicant respectfully requests that the Examiner consider the listed documents, and evidence that consideration of relevant portions thereof by making appropriate notations on the enclosed forms.

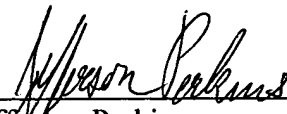
It is believed that these references either taken alone or in combination do not disclose or suggest the invention claimed by the Applicant. However, it is the Applicant's desire to have these references available in the record for both the Examiner and the public to see. The Applicant specifically reserves all rights of privilege and confidence with respect to this matter and submission of this document is not to be construed as a waiver of those rights. Moreover, submission of this document should not be considered an admission that the references cited herein are proper prior art to the aforementioned application.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If it should be determined that any of the listed documents do not constitute "prior art" under United States law, Applicant reserves the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

No fee is thought to be due with this Information Disclosure Statement. However, if there is any fee due in connection with this submission, please charge the fee to Deposit Account No. 503138 of Daspin & Aument, LLP.

Respectfully submitted,

  
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Substitute for form 1449/PTO

*(Use as many sheets as necessary)*

**Complete if Known**

Application Number	10/536,936
Filing Date	13 November 2003
First Named Inventor	John Haig MARSH et al.
Art Unit	3663
Examiner Name	unknown
Attorney Docket Number	305832-00115

Sheet	1	of	2
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## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>2</sup> *Number <sup>4</sup> *Kind Code <sup>3</sup> (if known)	MM-DD-YYYY			
		GB 2327533 A	01-27-1989	Sharp K. K.		
		WO 01/57565	08-09-2001	University of Glasgow		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		Application Number	10/536,936
		Filing Date	13 November 2003
		First Named Inventor	John Haig MARSH et al.
		Art Unit	3663
		Examiner Name	Unknown
Sheet 2	of 2	Attorney Docket Number	305832-00115

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		BRITISH PATENT OFFICE, Search Report for GB 0227089.0, 6 April 2004	
		EUROPEAN PATENT OFFICE, International Search Report for PCT/GB2003/04906, 30 March 2004	
		YANSON, D. A. et al., "Self Focussed Distributed Bragg Reflector Laser Diodes", Conference on Lasers and Electro-Optics (CLEO) 2002, Vol. 73, pp. 599-600 (19 May 2002)	

Examiner Signature		Date Considered	
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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